

## PENT COOPERATION TRE Y

From the INTERNATIONAL BUREAU

PCT

NOTIFICATION OF THE RECORDING  
OF A CHANGE(PCT Rule 92bis.1 and  
Administrative Instructions, Section 422)

Date of mailing (day/month/year) 01 December 2000 (01.12.00)	
Applicant's or agent's file reference SMC60396/WO	IMPORTANT NOTIFICATION
International application No. PCT/GB00/04083	International filing date (day/month/year) 23 October 2000 (23.10.00)

To:	MAYALL, John Avecia Limited Intellectual Property Group Hexagon House P.O. Box 42, Blackley Manchester M9 8ZS ROYAUME-UNI
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1. The following indications appeared on record concerning:				
<input checked="" type="checkbox"/> the applicant <input checked="" type="checkbox"/> the inventor <input type="checkbox"/> the agent <input type="checkbox"/> the common representative				
Name and Address  MISTRY, Prahalad Hexagon House P.O. Box 42 Blackley Manchester M9 8ZS United Kingdom	State of Nationality GB		State of Residence GB	
	Telephone No.			
	Facsimile No.			
	Teleprinter No.			
2. The International Bureau hereby notifies the applicant that the following change has been recorded concerning:				
<input type="checkbox"/> the person <input checked="" type="checkbox"/> the name <input type="checkbox"/> the address <input type="checkbox"/> the nationality <input type="checkbox"/> the residence				
Name and Address  MISTRY, Prahalad, Manibhai Hexagon House P.O. Box 42 Blackley Manchester M9 8ZS United Kingdom	State of Nationality GB		State of Residence GB	
	Telephone No.			
	Facsimile No.			
	Teleprinter No.			
3. Further observations, if necessary:				
4. A copy of this notification has been sent to:				
<input checked="" type="checkbox"/> the receiving Office <input checked="" type="checkbox"/> the International Searching Authority <input type="checkbox"/> the International Preliminary Examining Authority		<input checked="" type="checkbox"/> the designated Offices concerned <input type="checkbox"/> the elected Offices concerned <input type="checkbox"/> other:		
The International Bureau of WIPO 34, chemin des Colombettes 1211 Geneva 20, Switzerland  Facsimile No.: (41-22) 740.14.35		Authorized officer  I. Britel  Telephone No.: (41-22) 338.83.38		

## PATENT COOPERATION TREATY

PCT  
**NOTIFICATION OF ELECTION**  
 (PCT Rule 61.2)

From the INTERNATIONAL BUREAU

To:

Commissioner  
 US Department of Commerce  
 United States Patent and Trademark  
 Office, PCT  
 2011 South Clark Place Room  
 CP2/5C24  
 Arlington, VA 22202  
 ETATS-UNIS D'AMERIQUE

in its capacity as elected Office

Date of mailing (day/month/year) 05 October 2001 (05.10.01)	Commissioner US Department of Commerce United States Patent and Trademark Office, PCT 2011 South Clark Place Room CP2/5C24 Arlington, VA 22202 ETATS-UNIS D'AMERIQUE in its capacity as elected Office
International application No. PCT/GB00/04083	Applicant's or agent's file reference SMC60396/WO
International filing date (day/month/year) 23 October 2000 (23.10.00)	Priority date (day/month/year) 29 October 1999 (29.10.99)
Applicant MISTRY, Prahalad, Manibhai	

1. The designated Office is hereby notified of its election made:

in the demand filed with the International Preliminary Examining Authority on:

22 May 2001 (22.05.01)

in a notice effecting later election filed with the International Bureau on:

2. The election  was

was not

made before the expiration of 19 months from the priority date or, where Rule 32 applies, within the time limit under Rule 32.2(b).

The International Bureau of WIPO 34, chemin des Colombettes 1211 Geneva 20, Switzerland	Authorized officer Juan CRUZ
Facsimile No.: (41-22) 740.14.35	Telephone No.: (41-22) 338.83.38

## PATENT COOPERATION TREATY

## PCT

## INTERNATIONAL SEARCH REPORT

(PCT Article 18 and Rules 43 and 44)

Applicant's or agent's file reference <b>SMC60396/WO</b>	<b>FOR FURTHER ACTION</b> see Notification of Transmittal of International Search Report (Form PCT/ISA/220) as well as, where applicable, item 5 below.	
International application No. <b>PCT/ GB 00/ 04083</b>	International filing date (day/month/year) <b>23/10/2000</b>	(Earliest) Priority Date (day/month/year) <b>29/10/1999</b>
Applicant <b>AVECIA LIMITED</b>		

This International Search Report has been prepared by this International Searching Authority and is transmitted to the applicant according to Article 18. A copy is being transmitted to the International Bureau.

This International Search Report consists of a total of 3 sheets.

It is also accompanied by a copy of each prior art document cited in this report.

**1. Basis of the report**

- a. With regard to the language, the international search was carried out on the basis of the international application in the language in which it was filed, unless otherwise indicated under this item.
  - the international search was carried out on the basis of a translation of the international application furnished to this Authority (Rule 23.1(b)).
- b. With regard to any **nucleotide and/or amino acid sequence** disclosed in the international application, the international search was carried out on the basis of the sequence listing :
  - contained in the international application in written form.
  - filed together with the international application in computer readable form.
  - furnished subsequently to this Authority in written form.
  - furnished subsequently to this Authority in computer readable form.
  - the statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished.
  - the statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished
- 2.  **Certain claims were found unsearchable** (See Box I).
- 3.  **Unity of invention is lacking** (see Box II).

4. With regard to the title,

- the text is approved as submitted by the applicant.
- the text has been established by this Authority to read as follows:

**DISAZODYESTUFFS FOR INK JET PRINTING**

5. With regard to the abstract,

- the text is approved as submitted by the applicant.
- the text has been established, according to Rule 38.2(b), by this Authority as it appears in Box III. The applicant may, within one month from the date of mailing of this international search report, submit comments to this Authority.

6. The figure of the drawings to be published with the abstract is Figure No.

- as suggested by the applicant.
- because the applicant failed to suggest a figure.
- because this figure better characterizes the invention.

—

None of the figures.

## INTERNATIONAL SEARCH REPORT

International Application No

PCT/GB 00/04083

## A. CLASSIFICATION OF SUBJECT MATTER

IPC 7 C09B31/02 C09B31/08 C09D11/00

According to International Patent Classification (IPC) or to both national classification and IPC

## B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)

IPC 7 C09B C09D

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practical, search terms used)

EPO-Internal

## C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	EP 0 611 811 A (MITSUBISHI CHEM IND) 24 August 1994 (1994-08-24)  formulas II,II-2, (F) ---	1-5,10, 11,13, 14,16-18
P, X	WO 00 50515 A (SHIMIZU WATARU ;YAMADA MASAHIRO (JP); MITSUBISHI CHEM CORP (JP)) 31 August 2000 (2000-08-31) examples 6,10 & DATABASE WPI Week 0057 Derwent Publications Ltd., London, GB; AN 2000-601817'57! "New disazodye for use in ink-jet recording inks" & JP 2000 309721 A (MITSUBISHI CHEM. CORP.), 7 November 2000 (2000-11-07) abstract ---	1,10,11, 13,16-18

 Further documents are listed in the continuation of box C. Patent family members are listed in annex.

## \* Special categories of cited documents :

- \*A\* document defining the general state of the art which is not considered to be of particular relevance
- \*E\* earlier document but published on or after the international filing date
- \*L\* document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)
- \*O\* document referring to an oral disclosure, use, exhibition or other means
- \*P\* document published prior to the international filing date but later than the priority date claimed

- \*T\* later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention

- \*X\* document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone

- \*Y\* document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art.

- \*&\* document member of the same patent family

Date of the actual completion of the international search

22 December 2000

Date of mailing of the international search report

05/01/2001

Name and mailing address of the ISA

European Patent Office, P.B. 5818 Patentlaan 2  
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Authorized officer

Ketterer, M

## INTERNATIONAL SEARCH REPORT

International Application No  
PCT/GB 00/04083

## C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT

Category °	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
A	EP 0 859 033 A (ILFORD AG) 19 August 1998 (1998-08-19) claims; tables 1,4 ---	1,13, 16-18
A	EP 0 347 803 A (ORIENT CHEMICAL IND) 27 December 1989 (1989-12-27) cited in the application page 5, azo dye no. 3 claims 2,6 -----	1-3,13, 14,16-18

## INTERNATIONAL SEARCH REPORT

Information on patent family members

International Application No

PCT/GB 00/04083

Patent document cited in search report	Publication date	Patent family member(s)		Publication date
EP 0611811	A 24-08-1994	JP JP JP JP DE DE US EP EP WO	5331392 A 5331393 A 3092258 B 5125318 A 69229917 D 69229917 T 5478384 A 0844288 A 0844289 A 9309192 A	14-12-1993 14-12-1993 25-09-2000 21-05-1993 07-10-1999 27-04-2000 26-12-1995 27-05-1998 27-05-1998 13-05-1993
WO 0050515	A 31-08-2000	NONE		
EP 859033	A 19-08-1998	DE DE US	69700293 D 69700293 T 5989326 A	29-07-1999 03-02-2000 23-11-1999
EP 0347803	A 27-12-1989	JP JP JP DE DE US	1319576 A 1866436 C 5080956 B 68919917 D 68919917 T 5034058 A	25-12-1989 26-08-1994 10-11-1993 26-01-1995 04-05-1995 23-07-1991

## PATENT COOPERATION TREATY

PCT

REC'D 20 MAR 2002

## INTERNATIONAL PRELIMINARY EXAMINATION REPORT

(PCT Article 36 and Rule 70)

Applicant's or agent's file reference SMC60396/WO	<b>FOR FURTHER ACTION</b>		See Notification of Transmittal of International Preliminary Examination Report (Form PCT/IPEA/416)
International application No. PCT/GB00/04083	International filing date (day/month/year) 23/10/2000	Priority date (day/month/year) 29/10/1999	
International Patent Classification (IPC) or national classification and IPC C09B31/02			
Applicant AVECIA LIMITED			
<p>1. This international preliminary examination report has been prepared by this International Preliminary Examining Authority and is transmitted to the applicant according to Article 36.</p> <p>2. This REPORT consists of a total of 5 sheets, including this cover sheet.</p> <p><input type="checkbox"/> This report is also accompanied by ANNEXES, i.e. sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications made before this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions under the PCT).</p> <p>These annexes consist of a total of sheets.</p>			
<p>3. This report contains indications relating to the following items:</p> <ul style="list-style-type: none"> <li>I <input checked="" type="checkbox"/> Basis of the report</li> <li>II <input type="checkbox"/> Priority</li> <li>III <input type="checkbox"/> Non-establishment of opinion with regard to novelty, inventive step and industrial applicability</li> <li>IV <input type="checkbox"/> Lack of unity of invention</li> <li>V <input checked="" type="checkbox"/> Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement</li> <li>VI <input type="checkbox"/> Certain documents cited</li> <li>VII <input type="checkbox"/> Certain defects in the international application</li> <li>VIII <input type="checkbox"/> Certain observations on the international application</li> </ul>			

Date of submission of the demand 22/05/2001	Date of completion of this report 18.03.2002
Name and mailing address of the international preliminary examining authority:  European Patent Office - P.B. 5818 Patentlaan 2 NL-2280 HV Rijswijk - Pays Bas Tel. +31 70 340 - 2040 Tx: 31 651 epo nl Fax: +31 70 340 - 3016	Authorized officer Ketterer, M Telephone No. +31 70 340 3645



# INTERNATIONAL PRELIMINARY EXAMINATION REPORT

International application No. PCT/GB00/04083

## I. Basis of the report

1. With regard to the **elements** of the international application (*Replacement sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to this report since they do not contain amendments (Rules 70.16 and 70.17)*):  
**Description, pages:**

1-20 as originally filed

**Claims, No.:**

1-18 as originally filed

2. With regard to the language, all the elements marked above were available or furnished to this Authority in the language in which the international application was filed, unless otherwise indicated under this item.

These elements were available or furnished to this Authority in the following language: , which is:

- the language of a translation furnished for the purposes of the international search (under Rule 23.1(b)).
- the language of publication of the international application (under Rule 48.3(b)).
- the language of a translation furnished for the purposes of international preliminary examination (under Rule 55.2 and/or 55.3).

3. With regard to any **nucleotide and/or amino acid sequence** disclosed in the international application, the international preliminary examination was carried out on the basis of the sequence listing:

- contained in the international application in written form.
- filed together with the international application in computer readable form.
- furnished subsequently to this Authority in written form.
- furnished subsequently to this Authority in computer readable form.
- The statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished.
- The statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished.

4. The amendments have resulted in the cancellation of:

- the description, pages:
- the claims, Nos.:
- the drawings, sheets:

5.  This report has been established as if (some of) the amendments had not been made, since they have been considered to go beyond the disclosure as filed (Rule 70.2(c)):

**INTERNATIONAL PRELIMINARY  
EXAMINATION REPORT**

International application No. PCT/GB00/04083

*(Any replacement sheet containing such amendments must be referred to under item 1 and annexed to this report.)*

6. Additional observations, if necessary:

**V. Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement**

1. Statement

Novelty (N)	Yes:	Claims 6-8,12,15
	No:	Claims 1-5, 9-11,13,14,16-18
Inventive step (IS)	Yes:	Claims 6-8,12,15
	No:	Claims 1-5, 9-11,13,14,16-18
Industrial applicability (IA)	Yes:	Claims 1-18
	No:	Claims

2. Citations and explanations  
**see separate sheet**

**V. Reference is made to the following documents:**

D1: EP -A- 0 611 811

D2: WO -A- 00/50515

& D2a: Derwent abstract 2000-601817[57]; english abstract of JP-A-2000 309721

D3: EP -A- 0 859 033

**V.1. The application does not fulfill the requirements of Article 33(1) PCT, because claims 1-5, 9-11,13,14 and 16-18 are not new in the sense of Article 33(2) PCT.**

**V.1.1. The compounds represented on page 6 (formula II-2) and on page 13 (formula (F) [which is novelty destroying for current claim 9]) as well as parts of the markush formula (II) on page 4 of D1 are novelty destroying for claims 1-5, 9-11,13,14 and 16-18. The dyes are also used in ink-jet-recording technique.**

**V.1.2. Regarding example 5 of the current application (see page 10), it seems, that also compounds bearing more than two substituents on the left phenyl ring fall under the scope of claim 1. Therefore, also the dyestuffs of the examples 6, 7 and 10 on page 8 of D2 are novelty destroying for claims 1,10,11,13,14,16-18. The dyestuffs are also used in ink-jet-recording (see english abstract D2a).**

**V.2. Claims 6-8,12,15 seem to fullfil the requirements of Article 33(1) PCT.**

**V.2.1.**

D1 does not disclose hydroxyl groups for the relevant formulas as a substituent at the middle phenyl moiety. Claims 6 and 12 are therefore inventive over D1.

D1 does not disclose substituents as defined in current claims 7 and 8 for the relevant substituents R3 and R4. Claims 7 and 8 are therefore inventive over D1.

D1 is silent concerning the content of divalent or trivalent metal ions in total, therefore claim 15 is inventive over D1.

**V.2.2.**

Claims 2,3 and 4 are inventive over D2, because NH-Z does not propose NH2 in case of q (see D2) resp. n (see current application) is zero.

Acyl is not proposed in D2 as a substituent at the amino group of the left phenyl ring.

**INTERNATIONAL PRELIMINARY  
EXAMINATION REPORT - SEPARATE SHEET**

International application No. PCT/GB00/04083

Claim 5 is therefore inventive over D2.

D2 does not disclose hydroxyl groups for the relevant formulas as a substituent at the middle phenyl moiety. Claims 6 and 12 are therefore inventive over D2.

D2 does not disclose substituents as defined in current claims 7 and 8 for the relevant substituents R3 and R4. Claims 7 and 8 are therefore inventive over D2.

D2 is silent concerning the content of divalent or trivalent metal ions in total, therefore claim 15 is inventive over D2.

V.2.3.

Examples 1-3 (page 10) of D3 disclose dyestuffs for ink jet printing with SO3H groups at the left phenyl ring; an amino group is missing.

Furthermore, D3 does not propose the presence of a SO3H group and an amino group at the same time at the left phenyl ring, as it is critical for the claimed dyes.

V.3.

Claims 6,8,12 and 15 are therefore inventive over documents D1-D3.

V.4. The four priority documents stated by the applicant do only give support for compounds of formula (1), which bear an unsubstituted amino group in 7-position of the naphthol moiety.

D2 as well as D2a are published after the alleged priority date of the current application.

D2: 25-02-2000 (published); 25-02-1999; 24-12-1999 (priority dates)

V.5. Contrary to the requirements of Rule 5.1(a)(ii) PCT, the relevant background art disclosed in the documents D1-D3 is not mentioned in the description, nor are these documents identified therein.

APPLICATION NUMBER: 10/089174

ART UNIT: 1755

FIGURE TO BE PUBLISHED: None

US CLASSIFICATION INFORMATION:

PRIMARY:  
CLASS: 106 / SUBCLASS: 31.52

SECONDARY:  
CLASS: 106 / SUBCLASS: 31.81

CLASS: 106 / SUBCLASS: 31.48

CLASS: 106 / SUBCLASS: 31.5

CLASS: 106 / SUBCLASS: 31.77

CLASS: 106 / SUBCLASS: 31.78

347/100

427/466

428/~~45~~ 32.1

534/797

534/829

534/836

INTERNATIONAL CLASSIFICATION INFORMATION:

PRIMARY:  
IPC: C09D 11/00

SECONDARY:

IPC: C09D 11/02

C09B 29/09

IPC: B05D 1/24

C09B 31/08

IPC: B32B 3/00

B32B 27/14

IF MORE PGPUB INPUT NEEDED FROM  
ANOTHER AU, THEN LIST THAT AU: \_\_\_\_\_

*Not in system  
371 file  
PL*

L Number	Hits	Search Text	DB	Time stamp
1	214	106/31.52.cccls.	USPAT; US-PGPUB	2003/09/08 14:07
4	89	106/31.81.cccls.	USPAT; US-PGPUB	2003/09/08 14:06
5	231	106/31.48.cccls.	USPAT; US-PGPUB	2003/09/08 14:06
6	145	106/31.5.cccls.	USPAT; US-PGPUB	2003/09/08 14:07
7	204	106/31.77.cccls.	USPAT; US-PGPUB	2003/09/08 14:07
8	217	106/31.78.cccls.	USPAT; US-PGPUB	2003/09/08 14:07
9	294	534/797.cccls.	USPAT; US-PGPUB	2003/09/08 14:07

(12) INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

(19) World Intellectual Property Organization  
International Bureau



(43) International Publication Date  
3 May 2001 (03.05.2001)

PCT

(10) International Publication Number  
WO 01/30917 A1

(51) International Patent Classification<sup>7</sup>: C09B 31/02, C09B 31/08, C09D 11/00

(74) Agents: MAYALL, John et al.: Avecia Limited, Intellectual Property Group, Hexagon House, P.O. Box 42, Blackley, Manchester M9 8ZS (GB).

(21) International Application Number: PCT/GB00/04083

(81) Designated States (national): AE, AG, AL, AM, AT, AU, AZ, BA, BB, BG, BR, BY, BZ, CA, CH, CN, CR, CU, CZ, DE, DK, DM, DZ, EE, ES, FI, GB, GD, GE, GH, GM, HR, HU, ID, IL, IN, IS, JP, KE, KG, KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV, MA, MD, MG, MK, MN, MW, MX, MZ, NO, NZ, PL, PT, RO, RU, SD, SE, SG, SI, SK, SL, TJ, TM, TR, TT, TZ, UA, UG, US, UZ, VN, YU, ZA, ZW.

(22) International Filing Date: 23 October 2000 (23.10.2000)

(25) Filing Language: English

(26) Publication Language: English

(30) Priority Data:

9925522.6	29 October 1999 (29.10.1999)	GB
9925521.8	29 October 1999 (29.10.1999)	GB
9925519.2	29 October 1999 (29.10.1999)	GB
9925518.4	29 October 1999 (29.10.1999)	GB

(84) Designated States (regional): ARIPO patent (GH, GM, KE, LS, MW, MZ, SD, SL, SZ, TZ, UG, ZW), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent (AT, BE, CH, CY, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, GW, ML, MR, NE, SN, TD, TG).

(71) Applicant (for all designated States except US): AVECIA LIMITED [GB/GB]; Hexagon House, Blackley, Manchester M9 8ZS (GB).

Published:

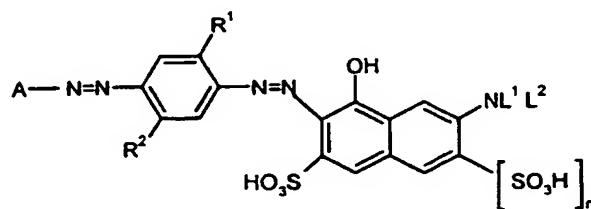
— With international search report.

(72) Inventor; and

(75) Inventor/Applicant (for US only): MISTRY, Prahalad, Manibhai [GB/GB]; Hexagon House, P.O. Box 42, Blackley, Manchester M9 8ZS (GB).

For two-letter codes and other abbreviations, refer to the "Guidance Notes on Codes and Abbreviations" appearing at the beginning of each regular issue of the PCT Gazette.

(54) Title: DISAZODYESTUFFS FOR INK JET PRINTING



(1)

(57) Abstract: A compound of Formula (1) and salts thereof, wherein: A is a substituted phenyl group carrying a group of the formula -NR<sup>3</sup>R<sup>4</sup> and an ortho group selected from sulpho, phosphonato and phosphinato; n is 0 or 1; L<sup>1</sup> and L<sup>2</sup> are each independently H, optionally substituted alkyl, optionally substituted cycloalkyl or optionally substituted aryl, or L<sup>1</sup> and L<sup>2</sup> together with the N atom to which they are attached form

an optionally substituted 5- or 6-membered ring; R<sup>1</sup> and R<sup>2</sup> are each independently optionally substituted alkyl or optionally substituted alkoxy; and R<sup>3</sup> and R<sup>4</sup> are each independently H, optionally substituted alkyl, optionally substituted cycloalkyl or optionally substituted aryl, or R<sup>3</sup> and R<sup>4</sup> together with the nitrogen atom to which they are attached form an optionally substituted 5- or 6-membered ring; or R<sup>3</sup> is H, optionally substituted alkyl, optionally substituted cycloalkyl or optionally substituted aryl and R<sup>4</sup> is an acyl group. The use of these compounds in inks and the use of inks comprising these compounds in ink jet printing.

WO 01/30917 A1

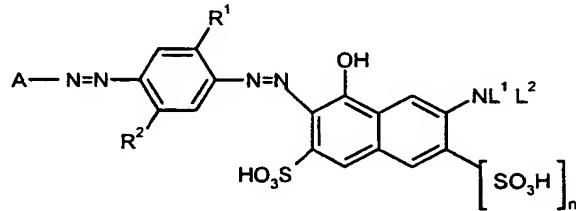
## DISAZODYESTUFFS FOR INK JET PRINTING

COMPOUNDS

This invention relates to dyes, to inks and to their use in ink jet printing ("IJP"). IJP is a non-impact printing technique in which droplets of ink are ejected through a fine nozzle onto a substrate without bringing the nozzle into contact with the substrate.

There are many demanding performance requirements for dyes and inks used in IJP. For example they desirably provide sharp, non-feathered images having good water-fastness, light-fastness and optical density. The inks are often required to dry quickly when applied to a substrate to prevent smudging, but they should not form a crust over the tip of an ink jet nozzle because this will stop the printer from working. The inks should also be stable to storage over time without decomposing or forming a precipitate which could block the fine nozzle.

According to the present invention there is provided a compound of Formula (1) and salts thereof:



15

Formula (1)

wherein:

- A is a substituted phenyl group carrying a group of the formula -NR<sup>3</sup>R<sup>4</sup> and an ortho group selected from sulpho, phosphonato and phosphinato;
- n is 0 or 1;
- 20 L<sup>1</sup> and L<sup>2</sup> are each independently H, optionally substituted alkyl, optionally substituted cycloalkyl or optionally substituted aryl, or L<sup>1</sup> and L<sup>2</sup> together with the N atom to which they are attached form an optionally substituted 5- or 6- membered ring;
- R<sup>1</sup> and R<sup>2</sup> are each independently optionally substituted alkyl or optionally substituted alkoxy; and
- 25 R<sup>3</sup> and R<sup>4</sup> are each independently H, optionally substituted alkyl, optionally substituted cycloalkyl or optionally substituted aryl, or R<sup>3</sup> and R<sup>4</sup> together with the nitrogen atom to which they are attached form an optionally substituted 5- or 6- membered ring; or
- 30 R<sup>3</sup> is H, optionally substituted alkyl, optionally substituted cycloalkyl or optionally substituted aryl and R<sup>4</sup> is an acyl group.

In a first preferred embodiment n is 0; L<sup>1</sup> and L<sup>2</sup> are H; and R<sup>3</sup> and R<sup>4</sup> are each independently H, optionally substituted alkyl, optionally substituted cycloalkyl or optionally substituted aryl, or R<sup>3</sup> and R<sup>4</sup> together with the N atom to which they are attached form an optionally substituted 5- or 6-membered ring.

5 In a second preferred embodiment n is 1; L<sup>1</sup> and L<sup>2</sup> are H; and R<sup>3</sup> and R<sup>4</sup> are each independently H, optionally substituted alkyl, optionally substituted cycloalkyl or optionally substituted aryl, or R<sup>3</sup> and R<sup>4</sup> together with the N atom to which they are attached form an optionally substituted 5- or 6-membered ring.

10 In a third preferred embodiment n is 0; L<sup>1</sup> and L<sup>2</sup> are H; R<sup>3</sup> is H, optionally substituted alkyl, optionally substituted cycloalkyl or optionally substituted aryl; and R<sup>4</sup> is an acyl group.

15 In a fourth preferred embodiment n is 1; L<sup>1</sup> and L<sup>2</sup> are H; R<sup>3</sup> is H, optionally substituted alkyl, optionally substituted cycloalkyl or optionally substituted aryl; and R<sup>4</sup> is an acyl group.

20 Preferred acyl groups represented by R<sup>4</sup> are of the formula -COR<sup>5</sup>, -SOR<sup>5</sup> or -SO<sub>2</sub>R<sup>5</sup> wherein, R<sup>5</sup> is H, optionally substituted alkyl, optionally substituted cycloalkyl or optionally substituted aryl. It is especially preferred that R<sup>4</sup> is of the formula CH<sub>3</sub>(CH<sub>2</sub>)<sub>a</sub>CO- wherein a has a value from 0 to 3.

25 The optional substituents which may be present on L<sup>1</sup>, L<sup>2</sup>, R<sup>1</sup>, R<sup>2</sup>, R<sup>3</sup>, R<sup>4</sup> and R<sup>5</sup> are preferably selected from -NH<sub>2</sub>; halo, especially Cl, Br and F; ester, especially -CO<sub>2</sub>-C<sub>1-4</sub>-alkyl; -O-C<sub>1-4</sub>-alkyl; -CO<sub>2</sub>H; -SO<sub>3</sub>H; -OR<sup>6</sup>; or -SR<sup>6</sup>; wherein each R<sup>6</sup> independently is H or C<sub>1-4</sub>-alkyl.

30 Preferably at least one of R<sup>1</sup> and R<sup>2</sup>, or more preferably both R<sup>1</sup> and R<sup>2</sup>, carries an -OH group.

35 When L<sup>1</sup>, L<sup>2</sup>, R<sup>1</sup>, R<sup>2</sup>, R<sup>3</sup>, R<sup>4</sup> and R<sup>5</sup> is an optionally substituted alkyl group it is preferably an optionally substituted C<sub>1-4</sub>-alkyl group, more preferably a C<sub>1-4</sub>-alkyl group or a C<sub>1-4</sub>-alkyl-OH group.

40 When R<sup>1</sup> or R<sup>2</sup> is an optionally substituted alkoxy group it is preferably an optionally substituted C<sub>1-4</sub>-alkoxy group, more preferably a C<sub>1-4</sub>-alkoxy or a C<sub>1-4</sub>-alkoxy-OH group.

45 R<sup>1</sup> and R<sup>2</sup> are preferably each independently optionally substituted C<sub>1-4</sub>-alkyl or optionally substituted C<sub>1-4</sub>-alkoxy, provided that at least one of R<sup>1</sup> and R<sup>2</sup> carries an -OH group, more preferably optionally substituted C<sub>1-4</sub>-alkoxy, especially C<sub>1-4</sub>-alkoxy-OH.

50 In one embodiment one of R<sup>1</sup> and R<sup>2</sup> is -OC<sub>1-4</sub>-alkyl-OH and the other is -OC<sub>1-4</sub>-alkyl or -OC<sub>1-4</sub>-alkyl-OH.

55 When L<sup>1</sup>, L<sup>2</sup>, R<sup>3</sup>, R<sup>4</sup> or R<sup>5</sup> is optionally substituted aryl it is preferably optionally substituted phenyl, more preferably phenyl or phenyl carrying a carboxy and/or sulphonate group. When R<sup>3</sup> and R<sup>4</sup> or L<sup>1</sup> and L<sup>2</sup> together with the nitrogen atom to which they are

attached form an optionally substituted 5- or 6- membered ring such ring is preferably an optionally substituted morpholino or piperidino ring

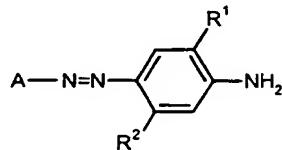
Preferably the ortho group on A is sulpho.

Based on the above preferences it is preferred that R<sup>3</sup> and R<sup>4</sup> are each 5 independently selected from optionally substituted C<sub>1-4</sub>-alkyl and optionally substituted phenyl, or R<sup>3</sup> and R<sup>4</sup> together with the nitrogen atom to which they are attached form an optionally substituted 5- or 6- membered ring. It is especially preferred that R<sup>3</sup> and R<sup>4</sup> are each independently selected from C<sub>1-4</sub>-alkyl, C<sub>1-4</sub>-alkyl-OH, phenyl and phenyl carrying a carboxy and/or sulpho group, or R<sup>3</sup> and R<sup>4</sup> together with the nitrogen to which they are 10 attached form an optionally substituted morpholino or piperidino ring.

It is also preferred that when R<sup>4</sup> is acyl that R<sup>3</sup> is preferably selected from optionally substituted C<sub>1-4</sub>-alkyl and optionally substituted phenyl. It is especially preferred that when R<sup>4</sup> is acyl that R<sup>3</sup> is selected from C<sub>1-4</sub>-alkyl, C<sub>1-4</sub>-alkyl-OH, phenyl and phenyl carrying a carboxy and/or sulpho group.

15 It is especially preferred that the group of formula -NR<sup>3</sup>R<sup>4</sup> is in the para position with respect to the azo linkage because this gives particularly good optical density.

The dyes of Formulae (1) may be prepared by diazotising a compound of the Formula (2) to give a diazonium salt and coupling the resultant diazonium salt with a 1-hydroxy-3-sulphonaphthalene 1-hydroxy-3,6-disulphonaphthalene, in each case carrying 20 an NL<sup>1</sup>L<sup>2</sup> substituent at the 7-position:



Formula (2)

25 wherein A, L<sup>1</sup>, L<sup>2</sup>, R<sup>1</sup> and R<sup>2</sup> are as hereinbefore defined.

The hydroxy group(s) on R<sup>1</sup> and/or R<sup>2</sup> may be protected during the diazotisation, for example using an acid labile or base labile protecting group. The acetoxy protecting group is particularly convenient and inexpensive.

30 The diazotisation is preferably performed at room temperature or below. Preferably the diazotisation is performed in water, preferably at a pH below 7. Dilute mineral acid, e.g. HCl or H<sub>2</sub>SO<sub>4</sub>, may be used to achieve the desired acidic conditions.

The compound of Formula (2) may be prepared by diazotising a compound of formula A-NH<sub>2</sub> and coupling onto an aniline compound carrying R<sup>1</sup> and R<sup>2</sup> groups at the 2- and 5- positions respectively, wherein A, R<sup>1</sup> and R<sup>2</sup> are as hereinbefore defined.

Preferred salts are alkali metal salts (especially lithium, sodium and potassium salts), ammonium and substituted ammonium salts and mixtures thereof. Especially preferred salts are sodium, potassium and lithium salts, salts with ammonia and volatile amines and mixtures thereof. The lithium salts have good solubility, forming particularly storage stable inks with low tendency to block ink jet nozzles.

The dyes may be converted into a desired salt using known techniques. For example, an alkali metal salt of a dye may be converted into the ammonium or substituted ammonia salt by dissolving an alkali metal salt of the dye in water, acidifying with a mineral acid and adjusting the pH of the solution to pH 9 to 9.5 with ammonia or the amine and removing the alkali metal cations by dialysis or by use of an ion exchange resin.

Examples of amines which may be used to form such salts include methylamine, dimethylamine, trimethylamine, ethylamine, n-propylamine, iso-propylamine, n-butylamine, iso-butylamine, sec-butylamine, tert-butylamine, piperidine, pyridine, morpholine, allylamine, diethylamine, triethylamine and mixtures thereof. It is not essential that the dyes are completely in the form of the ammonium salt or substituted ammonium salt and mixed alkali metal and either ammonium salt or substituted ammonium salt are effective, especially those in which at least 50% of the cations are ammonium or substituted ammonium ions.

Still further salts are those with the counter ions described in US 5,830,265, claim 1, integer (b), which are included herein by reference thereto.

The dyes of Formula (1) may exist in tautomeric forms other than those shown in this specification. These tautomers are included within the scope of the present claims.

According to a second aspect of the present invention there is provided an ink comprising a compound of Formula (1) or salt thereof and a liquid medium or a low melting point solid medium.

A preferred ink comprises:

(a) from 0.01 to 30 parts of a compound of the Formula (1) or salt thereof; and  
(b) from 70 to 99.99 parts of a liquid medium or a low melting point solid medium; wherein all parts are by weight and the number of parts of (a)+(b)=100.

The number of parts of component (a) is preferably from 0.1 to 20, more preferably from 0.5 to 15, and especially from 1 to 5 parts. The number of parts of component (b) is preferably from 99.9 to 80, more preferably from 99.5 to 85, especially from 99 to 95 parts.

When the medium is a liquid, preferably component (a) is completely dissolved in component (b). Preferably component (a) has a solubility in component (b) at 20°C of at least 10%. This allows the preparation of liquid dye concentrates which may be used to prepare inks and reduces the chance of the dye precipitating if evaporation of the liquid medium occurs during storage.

Preferred liquid media include water, a mixture of water and an organic solvent and an organic solvent free from water.

When the liquid medium comprises a mixture of water and an organic solvent, the weight ratio of water to organic solvent is preferably from 99:1 to 1:99, more preferably from 99:1 to 50:50 and especially from 95:5 to 80:20.

It is preferred that the organic solvent present in the mixture of water and organic solvent is a water-miscible organic solvent or a mixture of such solvents. Preferred water-miscible organic solvents include C<sub>1-6</sub>-alkanols, preferably methanol, ethanol, n-propanol, isopropanol, n-butanol, sec-butanol, tert-butanol, n-pentanol, cyclopentanol and cyclohexanol; linear amides, preferably dimethylformamide or dimethylacetamide; ketones and ketone-alcohols, preferably acetone, methyl ether ketone, cyclohexanone and diacetone alcohol; water-miscible ethers, preferably tetrahydrofuran and dioxane; diols, preferably diols having from 2 to 12 carbon atoms, for example pentane-1,5-diol, ethylene glycol, propylene glycol, butylene glycol, pentylene glycol, hexylene glycol and thiodiglycol and oligo- and poly-alkyleneglycols, preferably diethylene glycol, triethylene glycol, polyethylene glycol and polypropylene glycol; triols, preferably glycerol and 1,2,6-hexanetriol; mono-C<sub>1-4</sub>-alkyl ethers of diols, preferably mono-C<sub>1-4</sub>-alkyl ethers of diols having 2 to 12 carbon atoms, especially 2-methoxyethanol, 2-(2-methoxyethoxy)ethanol, 2-(2-ethoxyethoxy)-ethanol, 2-[2-(2-methoxyethoxy)ethoxy]ethanol, 2-[2-(2-ethoxyethoxy)-ethoxy]-ethanol and ethyleneglycol monoallylether; cyclic amides, preferably 2-pyrrolidone, N-methyl-2-pyrrolidone, N-ethyl-2-pyrrolidone, caprolactam and 1,3-dimethylimidazolidone; cyclic esters, preferably caprolactone; sulphoxides, preferably dimethyl sulphoxide and sulpholane. Preferably the liquid medium comprises water and 2 or more, especially from 2 to 8, water-soluble organic solvents.

Especially preferred water-soluble organic solvents are cyclic amides, especially 2-pyrrolidone, N-methyl-pyrrolidone and N-ethyl-pyrrolidone; diols, especially 1,5-pentane diol, ethyleneglycol, thiodiglycol, diethyleneglycol and triethyleneglycol; and mono- C<sub>1-4</sub>-alkyl and C<sub>1-4</sub>-alkyl ethers of diols, more preferably mono- C<sub>1-4</sub>-alkyl ethers of diols having 2 to 12 carbon atoms, especially 2-methoxy-2-ethoxy-2-ethoxyethanol.

Examples of further suitable ink media comprising a mixture of water and one or more organic solvents are described in US 4,963,189, US 4,703,113, US 4,626,284 and EP 4,251,50A.

When the liquid medium comprises an organic solvent free from water, (i.e. less than 1% water by weight) the solvent preferably has a boiling point of from 30° to 200°C, more preferably of from 40° to 150°C, especially from 50 to 125°C. The organic solvent may be water-immiscible, water-miscible or a mixture of such solvents. Preferred water-miscible organic solvents are any of the hereinbefore described water-miscible organic solvents and mixtures thereof. Preferred water-immiscible solvents include, for example,

aliphatic hydrocarbons; esters, preferably ethyl acetate; chlorinated hydrocarbons, preferably  $\text{CH}_2\text{Cl}_2$ ; and ethers, preferably diethyl ether; and mixtures thereof.

When the liquid medium comprises a water-immiscible organic solvent, preferably a polar solvent is included because this enhances solubility of the dye in the liquid medium. Examples of polar solvents include  $\text{C}_{1-4}$ -alcohols. In view of the foregoing preferences it is especially preferred that where the liquid medium is an organic solvent free from water it comprises a ketone (especially methyl ethyl ketone) &/or an alcohol (especially a  $\text{C}_{1-4}$ -alkanol, more especially ethanol or propanol).

The organic solvent free from water may be a single organic solvent or a mixture of two or more organic solvents. It is preferred that when the medium is an organic solvent free from water it is a mixture of 2 to 5 different organic solvents. This allows a medium to be selected which gives good control over the drying characteristics and storage stability of the ink.

Ink media comprising an organic solvent free from water are particularly useful where fast drying times are required and particularly when printing onto hydrophobic and non-absorbent substrates, for example plastics, metal and glass.

Preferred low melting solid media have a melting point in the range from 60°C to 125°C. Suitable low melting point solids include long chain fatty acids or alcohols, preferably those with  $\text{C}_{18-24}$  chains, and sulphonamides. The dye of Formula (1) may be dissolved in the low melting point solid or may be finely dispersed in it.

The dyes of the invention may be used as the sole colorant in inks because of their attractive black shade. They benefit from particularly good light fastness and good optical density. However, if desired, one may combine the dyes with one or more further colorants if a slightly different shade is required for a particular end use. The further colorants are preferably dyes. When further colorants are included in the ink these are preferably selected from black, cyan and yellow colorants and combinations thereof.

Preferred black colorants include C.I.Food Black 2, C.I.Direct Black 19, C.I.Reactive Black 31, Pro-Jet™ Fast Black 2, C.I.Direct Black 195; C.I.Direct Black 168; and black dyes described in patents by Lexmark (e.g. EP 0 539,178 A2, Example 1, 2, 3, 4 and 5), Orient Chemicals (e.g. EP 0 347 803 A2, pages 5-6, azo dyes 3, 4, 5, 6, 7, 8, 12, 13, 14, 15 and 16) and Seiko Epson Corporation.

Preferred cyan colorants include C.I.Direct Blue 199; C.I.Acid Blue 9; C.I.Direct Blue 307; C.I.Reactive Blue 71; and C.I.Direct Blue 85.

Preferred yellow colorants include C.I.Direct Yellow 142; C.I.Direct Yellow 132; C.I.Direct Yellow 86; C.I.Direct Yellow 85; C.I.Direct Yellow 173; and C.I.Acid Yellow 23.

However, as mentioned above, it is not normally necessary to use further colorants in conjunction with dyes of the present invention.

The ink may also contain additional components conventionally used in ink jet printing inks, for example viscosity and surface tension modifiers, corrosion inhibitors, biocides, kogation reducing additives and surfactants which may be ionic or non-ionic.

5 A further aspect of the invention provides a process for forming an image on a substrate comprising applying an ink containing a dye of Formula (1) to the substrate by means of an ink jet printer.

The ink used in this process is preferably as defined in the second aspect of the present invention.

10 Preferably the ink contains less than 500ppm, more preferably less than 100ppm, especially less than 30ppm and more especially less than 20ppm in total of divalent and trivalent metal ions (other than metal ions bound to a dye component). The halide content is preferably less than 500ppm, more preferably less than 250ppm. The term 'ppm' means parts per million by weight based on the total weight of ink. The metal ion and halide content may be adjusted to the desired range using any suitable technique, e.g. 15 ultrafiltration, reverse osmosis, ion exchange or a combination thereof.

The ink may be used, as is, for ink jet printers or alternatively it may be used as a concentrate which is diluted and/or further formulated to give an ink jet printing ink. The concentrates are a useful form for transportation, avoiding the expense of transporting the water contained in finally formulated inks.

20 The ink jet printer preferably applies the ink to the substrate in the form of droplets which are ejected through a small orifice onto the substrate. Preferred ink jet printers are piezoelectric ink jet printers and thermal ink jet printers. In thermal ink jet printers, programmed pulses of heat are applied to the ink in a reservoir by means of a resistor adjacent to the orifice, thereby causing the ink to be ejected in the form of small droplets 25 directed towards the substrate during relative movement between the substrate and the orifice. In piezoelectric ink jet printers the oscillation of a small crystal causes ejection of the ink from the orifice.

The substrate is preferably paper, plastic, a textile, metal or glass, more preferably paper, an overhead projector slide or a textile material, especially paper.

30 Preferred papers are plain or treated papers which may have an acid, alkaline or neutral character.

Preferred paper are plain or treated papers which may have an acid, alkaline or neutral character. Examples of commercially available treated papers include HP 35 Premium Coated Paper (available from Hewlett Packard Inc), HP Photopaper (available from Hewlett Packard Inc), Stylus Pro 720 dpi Coated Paper, Epson Photo Quality Glossy Film (available from Seiko Epson Corp.), Epson Photo Quality Glossy Paper (available from Seiko Epson Corp.), Canon HR 101 High Resolution Paper (available from Canon),

Canon GP 201 and GP 301 Glossy Paper (available from Canon), and Canon HG 101 and HG201 High Gloss Film (available from Canon).

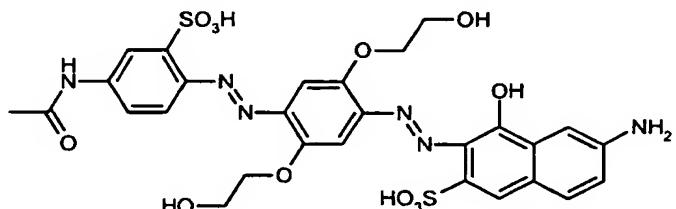
A further aspect of the present invention provides a paper, an overhead projector slide or a textile material printed with an ink, a dye or by means of a process as hereinbefore defined.

A still further aspect of the present invention provides an ink jet printer cartridge, optionally refillable, comprising a chamber and an ink, wherein the ink is present in the chamber and the ink is as defined in the second aspect of the present invention.

The following Examples illustrate how dyes according to the invention may be synthesised.

Example 1

Preparation of:



15

Step 1

4-aminoacetanilide-3-sulphonic acid (17.7g) was dissolved in water (300ml) and the pH was adjusted to 11-12 using lithium hydroxide (2M). The solution was carbon-screened and sodium nitrite (4.55g) added to the filtrate. The solution was then added to a mixture of ice and water to which had been added hydrochloric acid (20ml) and the mixture was stirred for 2hrs at 0-10°C. Excess nitrous acid was destroyed by the addition of sulphamic acid.

25

Step 2

2,5-bis(2-Acetoxyethoxy)aniline (17.82g) was dissolved in acetone (200ml).

Step 3 - Coupling

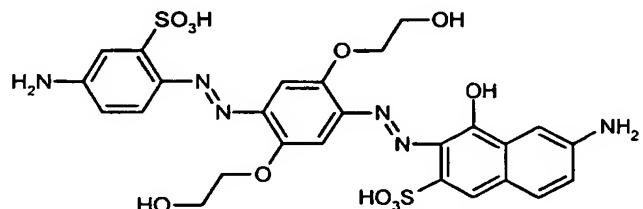
The product from step 2 was added to the product of step 1. Pyridine (5ml) was then added and the mixture allowed to self warm before stirring for a further 16hrs at room temperature. The product was then filtered off and washed with lithium chloride solution (500ml, 10%). The product was, filtered-off, pulled dry on the filter and used without further purification.

Step 4Preparation of the Title Product

The product of step 3 was dissolved in water (500ml) by adjusting the pH to 8-9 using lithium hydroxide. The solution was screened and sodium nitrite (8.28g) added to the filtrate. The mixture was then added to a stirred solution of hydrochloric acid (20ml) in water (100ml) and stirred for 1.5hrs at room temperature before destroying excess nitrous acid using sulphamic acid.

Gamma acid (16.2g) was dissolved in water (300ml) by adjusting the pH to 10 using lithium hydroxide solution (2M). The solution was stirred at 0-10°C and the diazonium salt solution added slowly maintaining the pH at 10-10.5 throughout the addition. On completion of the addition the mixture was further stirred for 1hr at 0-10°C. Lithium chloride (30% w/v) was then added slowly and the product isolated (hot) by filtration and washed with lithium chloride solution (2l, 30%). The damp cake was slurried in acetone (1l) using a high shear mixer, filtered and washed with acetone (1l).

15

Example 2Preparation of:

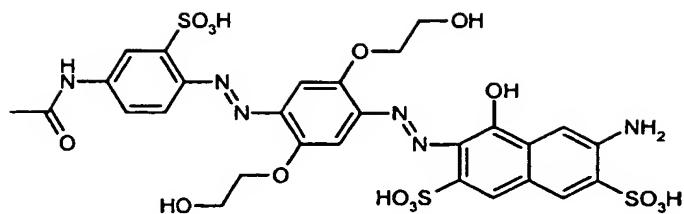
20

The product from Example 1 was dissolved in water (1l) and lithium hydroxide (80g) added. The solution was heated to 70-75°C until thin layer chromatography showed the hydrolysis to be complete (approx. 3hrs). The pH was adjusted to 8 and the solution cooled to 50°C. Lithium chloride (15% w/v) was then added slowly and the product isolated (hot) by filtration and washed with lithium chloride solution (1l, 20%). The resultant product was dissolved in water (400ml) and purified by dialysis. Evaporation of the water at 70°C gave 19.38g of the title product having a lambda max at 595nm.

Example 3Preparation of:

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10

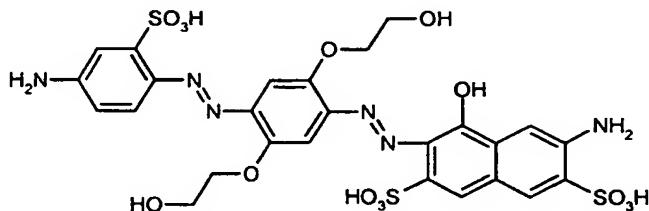


The method of Example 1 was repeated except that in step 4, 2R-Acid (22.26g) was used in place of Gamma acid.

5

Example 4

Preparation of:



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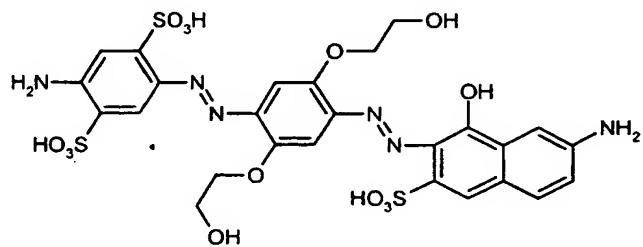
The product from Example 3 was dissolved in water (1l) and lithium hydroxide (80g) added. The solution was heated to 70-75°C until thin layer chromatography showed the hydrolysis to be complete (approx. 3hrs). The pH was adjusted to 8 and the solution cooled to 50°C. Lithium chloride (20% w/v) was then added slowly and the product isolated (hot) by filtration and washed with lithium chloride solution (1l, 25%). The resultant product was dissolved in water (400ml) and purified by dialysis. Evaporation of the water at 70°C gave 11.87g of the title product having a lambda maximum of 604nm.

15

Example 5:

20

Preparation of:



25

Step 1

4-acetylaminoaniline-2,5-disulphonic acid (64.08g) was dissolved in water (400ml) and the pH adjusted to 8-9 using lithium hydroxide (2M). Sodium nitrite (9.1g) was added and the solution added to a mixture of ice and water to which had been added 5 hydrochloric acid (40ml) and the mixture stirred at 0-10°C for 1hr. Excess nitrous acid was destroyed by the addition of sulphamic acid.

Step 2

2,5-bis-(2-acetoxyethoxy)aniline (35.64g) was dissolved in acetone (300ml).

10

Step 3

The product of step 2 was added to the product of step 1 and the mixture allowed to self warm before stirring for a further 16hrs at room temperature. The solution was adjusted to pH 7 by the addition of lithium hydroxide. Lithium chloride (25% w/v) was 15 then slowly added causing the temperature to rise to 60-65°C. After allowing to self cool to 30°C the precipitated product was filtered off and washed with lithium chloride (1litre, 30% w/v) before drying in an oven at 60°C. The product was used in step iv) without further purification.

20

Step 4

The product of step 3(53.1g) was dissolved in water (300ml) by adjusting the pH of the solution to 9 with lithium hydroxide (2M). Sodium nitrite (6.9g) was added and the solution added to a mixture of water (50ml) and hydrochloric acid (20ml). After stirring at room temperature for 1hr excess nitrous acid was destroyed by the addition of sulphamic acid.

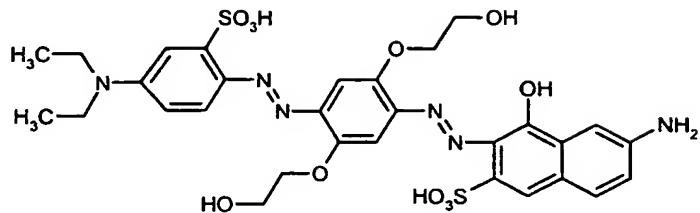
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Gamma acid (13.5g) was dissolved in water (300ml), the pH adjusted to 10-10.5 with lithium hydroxide (2M) and then cooled to 0-10°C. The diazonium salt solution was slowly added maintaining the pH at 10-10.5 by addition of lithium hydroxide (2M) and then further stirred for 1hr. The solution was heated to 40°C and lithium chloride (160g) 30 slowly added during which time the temperature rose to 70°C. The precipitated product was filtered off at 70°C and washed with lithium chloride solution (25% w/v, 1litre) before pulling dry on the filter. The damp cake was stirred in water (1litre) and lithium hydroxide (40g) added. After heating to 70°C for 2hrs the solution was cooled to 50°C adjusted to pH 7 with hydrochloric acid. Lithium chloride (200g) was slowly added causing the 35 temperature to rise to ~70°C. The precipitated product was filtered off at 70-80°C and washed with lithium chloride (1litre, 25%w/v). The damp filter cake was dissolved in water (500ml) adjusting to pH 9-10 with lithium hydroxide before dialysing to low conductivity.

Evaporation of the water gave 22g of the title product having a lambda maximum of 597nm and extinction coefficient of 49,000.

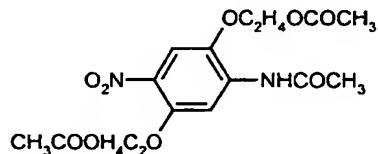
Example 6

5      Preparation of:



Step 1

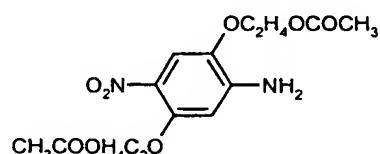
10     Preparation of:



15     2,5-bis-(2acetoxyethoxy)aniline (297g) was dissolved in acetic acid (500ml) at 40-50°C. Acetic anhydride (150ml) was then slowly added and the temperature raised to 80°C for 1hr. After cooling to room temperature nitric acid (70ml) was added over 1hr. During the course of the addition further acetic acid (1litre) was added to facilitate stirring. On completion of the addition the reaction mixture was stirred overnight and the product isolated by drown-out into water (3litre). After washing well with water (8litres) the 20     product was recrystallised from 74 OP ethanol and dried to give the title product (341g, 89% yield).

Step 2

25     Preparation of:

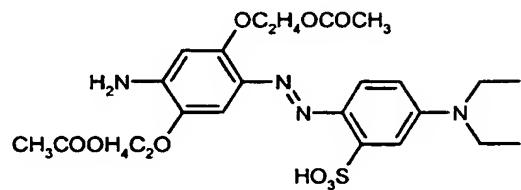


The product from step 1 was stirred and heated to 65°C in a mixture of sodium hydroxide solution (1l, 2M) and 74 OP ethanol (800ml) for 2hrs. The hot solution was

neutralised by the addition of hydrochloric acid, allowed to cool to room temperature and the product isolated by filtration before drying at 60°C, to give 118g of product.

Step 3

5 Preparation of:



10 The product from step 2 (25.8g) was added to a mixture of water (400ml) and hydrochloric acid (30ml) and cooled to 0-10°C. Sodium nitrite (7.59g) was slowly added and the solution further stirred for 1hr before destroying excess nitrous acid by the addition of sulphamic acid. A solution of sodium N,N-diethylmetanilate (30g) in water (200ml) was added to the diazonium salt solution and the pH adjusted to 4-5 by careful addition of sodium hydroxide (2M). After stirring for 2hrs the pH was raised to 7 before 15 stirring overnight at room temperature. The resulting suspension was adjusted to pH 1 with hydrochloric acid and the product isolated by filtration and washed with brine (20%w/v, 500ml).

20 The crude product was dissolved in a mixture of water (800ml) and acetone (500ml) at room temperature. To this was added a solution of sodium sulphite (2.5g) and sodium sulphide (40g) in water (300ml). After stirring for 8hrs hydrochloric acid was added to adjust to pH 7-8 and stirring continued overnight. Sodium chloride (250g) was added to the suspension before isolating the product by filtration and washing with brine (1litre) and drying, to give 48g of product

25 Step 4

Preparation of the Title Product

30 The product from step 3 (47.05g) was dissolved in a mixture of water (500ml) and acetone (300ml) by adjusting the pH to 9-10 with lithium hydroxide solution (2M). The solution was stirred at 0-10°C and hydrochloric acid (20ml) added followed by the slow addition of sodium nitrite (3.8g). On completion of the addition stirring was continued for 1.5hrs. Excess nitrous acid was destroyed by the addition of sulphamic acid.

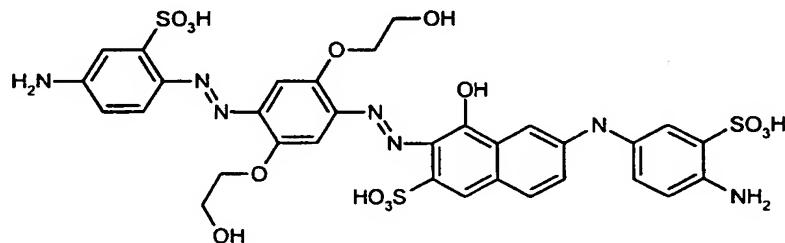
35 Gamma acid (13.5g) was dissolved in water (300ml) by adjusting the pH to 10 with lithium hydroxide (2M). After cooling the solution to 0-10°C the diazonium salt solution from above was slowly added while maintaining the pH at 10-10.5. On completion of the

addition the mixture was stirred and allowed to self warm to room temperature overnight. The precipitated product was isolated by filtration and washed with lithium chloride solution (2 l, 10%w/v). After pulling dry on the filter the damp solid was dispersed in acetone (2 l) using a high shear mixer before isolating by filtration and washing with acetone.

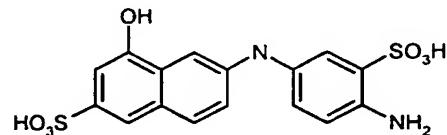
5 The product was dissolved in water at pH 8-9 adjusting the pH with 2 M lithium hydroxide and the solution heated to 30°C. Lithium chloride (150g) was slowly added causing the temperature to rise to 60°C. The precipitated product was isolated by filtration and washed with lithium chloride solution (1 l, 20%w/v) before re-dissolving in 10 water (800ml) by adjusting the pH to 9-10 with lithium hydroxide. The resulting solution was dialysed to low conductivity, filtered and the title product (17.7g) isolated by evaporation to dryness in an oven at 70°C. The resultant title dye had a lambda maximum of 619nm and extinction coefficient of 54,900.

15 Example 7

Preparation of:



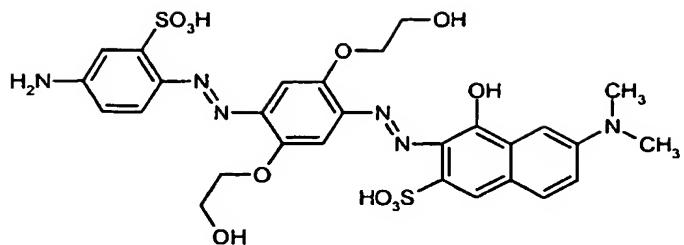
20 The title product was prepared by the method of Example 1 and Example 2 except that the Gamma acid used in Example 1, step 4 was replaced by :



25 prepared by the Bucherer reaction of Gamma acid with 1,4-phenylenediamine-2-sulphonic acid. The title product had a lambda maximum of 605nm and had an extinction coefficient of 38,000.

Example 8

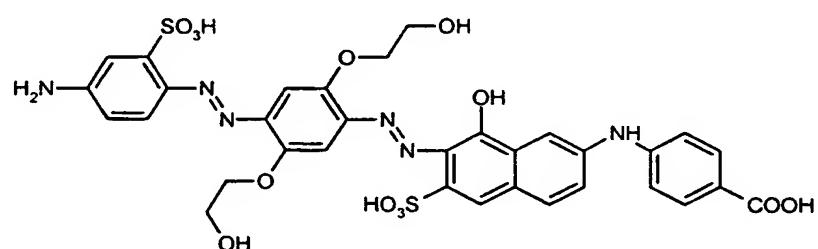
Preparation of:



The title product was prepared by the method of Example 1 and Example 2 replacing the Gamma acid used in Example 1, step 4 by 6-dimethylamino-4-hydroxy-2-naphthalenesulphonic acid. The title product gave a lambda maximum at 594nm and an extinction coefficient of 35,000.

**Example 9**

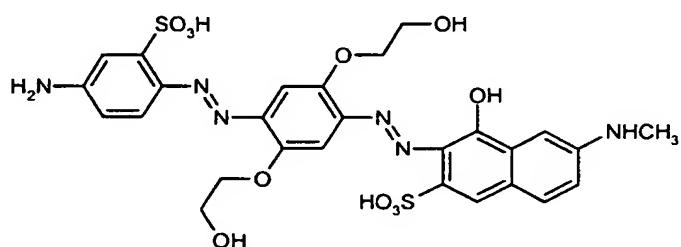
**Preparation of:**



The title product was prepared by the method of Example 1 and Example 2 replacing the Gamma acid used in Example 1, step 4 by 6-(4-carboxyphenyl)amino-4-hydroxy-2-naphthalenesulphonic acid (obtained from Metropolitan Eximchem Ltd., Mumbai, India). The title product gave a lambda maximum at 606nm and an extinction coefficient of 41,000.

**Example 10**

**Preparation of:**



The title product was prepared by the method of Example 1 and Example 2 replacing the Gamma acid used in Example 1, step 4 by 4-hydroxy-6-methylamino-2-

naphthalenesulphonic acid (obtained from Metropolitan Eximchem Ltd., Mumbai, India). The title product gave a lambda maximum at 602nm and an extinction coefficient of 39,000.

5 Example 11-21 - Mixtures

The dye mixtures described in Table A may be prepared in which all parts are by weight and are shown in brackets. CID means C.I. Direct and CIA means C.I. Acid.

TABLE A

Example	11	12	13	14	15	16	17	18	19	2	21
Dye from Example No.	2(80)	4(90)	5(60)	6(75)	7(95)	8(92)	9(89)	10(81)	1(60)	3(77)	2(79)
CID Yellow 132	10	10					4		7		
CID Yellow 142				5						6	
CID Yellow 86				5						10	
CIA Yellow 23			10	3							
CIA Blue 9				2	5						
CIA Blue 307					8		11				
CID Black 168						10			20		
CI Food Black 2									15		
CID Black 19									20		
CID Yellow 173						30				21	

Inks

The inks described in Tables I and II may be prepared wherein the Dye described in the first column is the Dye made in the above Example of the same number. Numbers quoted in the second column onwards refer to the number of parts of the relevant ingredient and all parts are by weight. The inks may be applied to paper by thermal or piezo ink jet printing.

The following abbreviations are used in Table I and II:

PG	= propylene glycol
10	DEG = diethylene glycol
	NMP = N-methyl pyrrolidone
	DMK = dimethylketone
	IPA = isopropanol
	MEOH = methanol
15	2P = 2-pyrrolidone
	MIBK = methylisobutyl ketone
	P12 = propane-1,2-diol
	BDL = butane-2,3-diol
	CET = cetyl ammonium bromide
20	PHO = Na <sub>2</sub> HPO <sub>4</sub> and
	TBT = tertiary butanol
	TDG = thioglycol

TABLE I

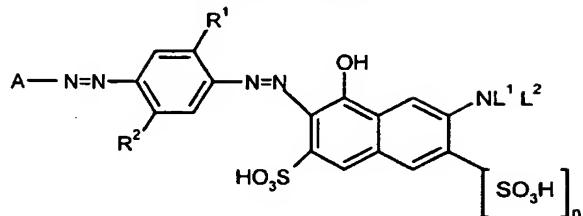
Example	Dye Content	Water	PG	DEG	NMP	DMK	NaOH	Na Stearate	IPA	MEOH	2P	MIBK
1	2.0	80	5	6	4	0.2			5	1	1	
2	3.0	90	5	5	3	3			5		5	
3	10.0	85	3	8			0.2		4	9		
4	2.1	91			9	0.5	0.5		6	10	5	4
5	3.1	86	5						6		6	
6	1.1	81			3	3			10		5	
7	2.5	60	4	15					6		5	
8	5	65	5	20					6		5	
9	2.4	75	5	4		5		0.3	5	4	6	
10	4.1	80	3	5	2	10			5		4	
1	3.2	65	5	4		6			4		15	
2	5.1	96							5		5	
3	10.8	90	5						1		4	
4	10.0	80	2	6	2				1		15	
2	1.8	80		5					10		5	
4	2.6	84			11				7	0.3	2	6
6	3.3	80	2							3	3	3
8	12.0	90			20	2			4		5	
9	5.4	69	2									
10	6.0	91										

5  
10  
15  
20  
25  
30  
35

TABLE II

**CLAIMS**

1. A compound of Formula (1) and salts thereof:



5

Formula (1)

wherein:

A is a substituted phenyl group carrying a group of the formula -NR<sup>3</sup>R<sup>4</sup> and an ortho group selected from sulpho, phosphonato and phosphinato;

10 n is 0 or 1;

L<sup>1</sup> and L<sup>2</sup> are each independently H, optionally substituted alkyl, optionally substituted cycloalkyl or optionally substituted aryl, or L<sup>1</sup> and L<sup>2</sup> together with the N atom to which they are attached form an optionally substituted 5- or 6- membered ring;

15 R<sup>1</sup> and R<sup>2</sup> are each independently optionally substituted alkyl or optionally substituted alkoxy; and

R<sup>3</sup> and R<sup>4</sup> are each independently H, optionally substituted alkyl, optionally substituted cycloalkyl or optionally substituted aryl, or R<sup>3</sup> and R<sup>4</sup> together with the nitrogen atom to which they are attached form an optionally substituted 5- or 6- membered ring; or

20 R<sup>3</sup> is H, optionally substituted alkyl, optionally substituted cycloalkyl or optionally substituted aryl and R<sup>4</sup> is an acyl group.

25 2. A compound according to claim 1 wherein n is 0; L<sup>1</sup> and L<sup>2</sup> are H; and R<sup>3</sup> and R<sup>4</sup> are each independently H, optionally substituted alkyl, optionally substituted cycloalkyl or optionally substituted aryl, or R<sup>3</sup> and R<sup>4</sup> together with the N atom to which they are attached form an optionally substituted 5- or 6- membered ring.

30 3. A compound according to claim 1 wherein n is 1; L<sup>1</sup> and L<sup>2</sup> are H; and R<sup>3</sup> and R<sup>4</sup> are each independently H, optionally substituted alkyl, optionally substituted cycloalkyl or optionally substituted aryl, or R<sup>3</sup> and R<sup>4</sup> together with the nitrogen atom to which they are attached form an optionally substituted 5- or 6-membered ring.

4. A compound according to claim 1 wherein n is 0; L<sup>1</sup> and L<sup>2</sup> are H; R<sup>3</sup> is H, optionally substituted alkyl, optionally substituted cycloalkyl or optionally substituted aryl; and R<sup>4</sup> is an acyl group.

5. 5. A compound according to claim 1 wherein n is 1; L<sup>1</sup> and L<sup>2</sup> are H; R<sup>3</sup> is H, optionally substituted alkyl, optionally substituted cycloalkyl or optionally substituted aryl; and R<sup>4</sup> is an acyl group.

10 6. A compound according to any one of the preceding claims wherein at least one of R<sup>1</sup> and R<sup>2</sup> carries an -OH group.

15 7. A compound according to any one of claims 1 to 3 or 6 wherein R<sup>3</sup> and R<sup>4</sup> are each independently selected from C<sub>1-4</sub>-alkyl, C<sub>1-4</sub>-alkyl-OH, phenyl or phenyl carrying a carboxy and/or sulpho group, or R<sup>3</sup> and R<sup>4</sup> together with the nitrogen to which they are attached form an optionally substituted morpholino or piperidino ring.

20 8. A compound according to any one of claims 1, 4 or 5 wherein R<sup>3</sup> is selected from C<sub>1-4</sub>-alkyl, C<sub>1-4</sub>-alkyl-OH, phenyl and phenyl carrying a carboxy and/or sulpho group.

25 9. A compound according to any one of claims 1, 4, 5, or 8 wherein R<sup>4</sup> is of the formula -COR<sup>5</sup>, -SOR<sup>5</sup> or -SO<sub>2</sub>R<sup>5</sup>, wherein R<sup>5</sup> is H, optionally substituted alkyl, optionally substituted cycloalkyl or optionally substituted aryl.

10. A compound according to any one of the preceding claims wherein the group of the formula -NR<sup>3</sup>R<sup>4</sup> is in the para position with respect to the azo linkage.

25 11. A compound according to any of the preceding claims wherein the ortho group on A is sulpho.

30 12. A compound according to any one of the preceding claims wherein one of R<sup>1</sup> and R<sup>2</sup> is -OC<sub>1-4</sub>-alkyl-OH and the other is -OC<sub>1-4</sub>-alkyl or -OC<sub>1-4</sub>-alkyl-OH.

13. An ink comprising a compound according to any one of the preceding claims and a liquid medium or a low melting point solid medium.

35 14. An ink according to claim 13 which contains a further colorant selected from black, cyan and yellow colorants.

15. An ink according to claim 13 or 14 which contains less than 500ppm in total of divalent and trivalent metal ions.

5 16. A process for forming an image on a substrate comprising applying an ink according to claim 13, 14 or 15 to the substrate by means of an ink jet printer.

17. A paper, an overhead projector slide or a textile material printed with an ink according to claim 13, 14 or 15, a compound according to any one of claims 1 to 12 or by means of a process according to claim 16.

10 18. An ink jet printer cartridge, optionally refillable, comprising a chamber and an ink, wherein the ink is present in the chamber and the ink is as defined in claim 13, 14 or 15.

# PATENT COOPERATION TREATY

## PCT

### INTERNATIONAL PRELIMINARY EXAMINATION REPORT (PCT Article 36 and Rule 70)

Applicant's or agent's file reference  SMC60396/WO	<b>FOR FURTHER ACTION</b> See Notification of Transmittal of International Preliminary Examination Report (Form PCT/IPEA/416)	
International application No.  PCT/GB00/04083	International filing date (day/month/year)  23/10/2000	Priority date (day/month/year)  29/10/1999
International Patent Classification (IPC) or national classification and IPC  C09B31/02		
Applicant  AVECIA LIMITED		

1. This international preliminary examination report has been prepared by this International Preliminary Examining Authority and is transmitted to the applicant according to Article 36.

2. This REPORT consists of a total of 5 sheets, including this cover sheet.

This report is also accompanied by ANNEXES, i.e. sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications made before this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions under the PCT).

These annexes consist of a total of sheets.

3. This report contains indications relating to the following items:

- I  Basis of the report
- II  Priority
- III  Non-establishment of opinion with regard to novelty, inventive step and industrial applicability
- IV  Lack of unity of invention
- V  Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement
- VI  Certain documents cited
- VII  Certain defects in the international application
- VIII  Certain observations on the international application

Date of submission of the demand  22/05/2001	Date of completion of this report  18.03.2002
Name and mailing address of the International preliminary examining authority   European Patent Office - P.O. 5010 Patentlaan 2 NL-2280 HV Rijswijk - Pays Bas Tel. +31 70 340 - 2040 Fax 31 651 epo nl Fax: +31 70 340 - 3016	Authorized officer  Ketterer, M Telephone No. +31 70 340 3845



INTERNATIONAL PRELIMINARY  
EXAMINATION REPORT

International application No. PCT/GB00/04083

*(Any replacement sheet containing such amendments must be referred to under item 1 and annexed to this report.)*

6. Additional observations, if necessary:

**V. Reasoned statement under Article 35(2) with regard to novelty, inventive step or Industrial applicability; citations and explanations supporting such statement**

1. Statement

Novelty (N)	Yes:	Claims 6-8,12,15
	No:	Claims 1-5, 9-11,13,14,16-18
Inventive step (IS)	Yes:	Claims 6-8,12,15
	No:	Claims 1-5, 9-11,13,14,16-18
Industrial applicability (IA)	Yes:	Claims 1-18
	No:	Claims

2. Citations and explanations  
see separate sheet

**INTERNATIONAL PRELIMINARY  
EXAMINATION REPORT - SEPARATE SHEET**

International application No. PCT/GB00/04083

**V. Reference is made to the following documents:**

D1: EP -A- 0 611 811

D2: WO -A- 00/50515

& D2a: Derwent abstract 2000-601817[57]; english abstract of JP-A-2000 309721

D3: EP -A- 0 859 033

**V.1. The application does not fulfill the requirements of Article 33(1) PCT, because claims 1-5, 9-11, 13, 14 and 16-18 are not new in the sense of Article 33(2) PCT.**

**V.1.1. The compounds represented on page 6 (formula II-2) and on page 13 (formula (F) [which is novelty destroying for current claim 9]) as well as parts of the markush formula (II) on page 4 of D1 are novelty destroying for claims 1-5, 9-11, 13, 14 and 16-18. The dyes are also used in ink-jet-recording technique.**

**V.1.2. Regarding example 5 of the current application (see page 10), it seems, that also compounds bearing more than two substituents on the left phenyl ring fall under the scope of claim 1. Therefore, also the dyestuffs of the examples 6, 7 and 10 on page 8 of D2 are novelty destroying for claims 1, 10, 11, 13, 14, 16-18. The dyestuffs are also used in ink-jet-recording (see english abstract D2a).**

**V.2. Claims 6-8, 12, 15 seem to fulfill the requirements of Article 33(1) PCT.**

**V.2.1.**

D1 does not disclose hydroxyl groups for the relevant formulas as a substituent at the middle phenyl moiety. Claims 6 and 12 are therefore inventive over D1.

D1 does not disclose substituents as defined in current claims 7 and 8 for the relevant substituents R3 and R4. Claims 7 and 8 are therefore inventive over D1.

D1 is silent concerning the content of divalent or trivalent metal ions in total, therefore claim 15 is inventive over D1.

**V.2.2.**

Claims 2, 3 and 4 are inventive over D2, because NH-Z does not propose NH2 in case of q (see D2) resp. n (see current application) is zero.

Acyl is not proposed in D2 as a substituent at the amino group of the left phenyl ring.

**INTERNATIONAL PRELIMINARY  
EXAMINATION REPORT - SEPARATE SHEET**

International application No. PCT/GB00/04083

Claim 5 is therefore inventive over D2.

D2 does not disclose hydroxyl groups for the relevant formulas as a substituent at the middle phenyl moiety. Claims 6 and 12 are therefore inventive over D2.

D2 does not disclose substituents as defined in current claims 7 and 8 for the relevant substituents R3 and R4. Claims 7 and 8 are therefore inventive over D2.

D2 is silent concerning the content of divalent or trivalent metal ions in total, therefore claim 15 is inventive over D2.

**V.2.3.**

Examples 1-3 (page 10) of D3 disclose dyestuffs for ink jet printing with SO3H groups at the left phenyl ring; an amino group is missing.

Furthermore, D3 does not propose the presence of a SO3H group and an amino group at the same time at the left phenyl ring, as it is critical for the claimed dyes.

**V.3.**

Claims 6-8,12 and 15 are therefore inventive over documents D1-D3.

**V.4.** The four priority documents stated by the applicant do only give support for compounds of formula (1), which bear an unsubstituted amino group in 7-position of the naphthol moiety.

D2 as well as D2a are published after the alleged priority date of the current application.

D2: 25-02-2000 (published); 25-02-1999; 24-12-1999 (priority dates)

**V.5.** Contrary to the requirements of Rule 5.1(a)(ii) PCT, the relevant background art disclosed in the documents D1-D3 is not mentioned in the description, nor are these documents identified therein.